

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. **Date of Submission:** 2010-03-22 18:50:43

2. **Agency:** 006

3. **Bureau:** 51

4. **Name of this Investment:** USPTO Transformation Road Map

5. **Unique Project (Investment) Identifier:** 006-51-02-00-01-8028-00

6. **What kind of investment will this be in FY 2011?:** Full-Acquisition

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB? ***

8. **Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

The USPTO Transformation Road Map investment is intended to address at its core, the aging IT infrastructure of the USPTO and related matters, which if not addressed will continue to degrade IT services to the point that the mission of the Agency itself is jeopardized. The USPTO Road Map and Transformation investment is a recommended, comprehensive planning effort that will include in-depth analysis, strategy, and supporting executable actions to equip the OCIO with the means to achieve and build upon quick wins over the next few months while enabling future IT achievements through the detailed phases of this Road Map for longer-term impact. This Road Map will focus on the critical areas of stabilization, standardization, consolidation, optimization, and enhancement of our IT infrastructure. Components of the plan will be implemented based on three broad initiatives that will form the underlying basis for justification, planning, execution, tracking and reporting of our progress on the OCIO transformation. These initiatives include Data Center Stabilization, Disaster Recovery, and Telecommunications Stabilization. The recommended solution focuses on the four major goals and the general guiding tenets detailed below: Goal 1: Stabilize the existing infrastructure environment. Goal 2: Consolidate the existing infrastructure to avoid unnecessary duplication and excessive cost. Goal 3: Optimize the IT infrastructure to improve performance, facilitate governance, and ensure compliance. Goal 4: Maintain and enhance the services delivered to customers.

a. **Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. **Did the Agency's Executive/Investment Committee approve this request? ***

a. If "yes," what was the date of this approval? *

10. **Contact information of Program/Project Manager?**

- **Name:** *
- **Phone Number:** *
- **Email:** *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

| Financial management system name(s) | System acronym | Unique Project Identifier (UPI) number |
|-------------------------------------|----------------|--|
| * | * | * |

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

| Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | | |
|--|-----------------|---------|---------|---------|-----------|-----------|-----------|-----------------|-------|
| | PY1 and earlier | PY 2009 | CY 2010 | BY 2011 | BY+1 2012 | BY+2 2013 | BY+3 2014 | BY+4 and beyond | Total |
| Planning: | * | * | * | * | * | * | * | * | * |
| Acquisition: | * | * | * | * | * | * | * | * | * |
| Subtotal Planning & Acquisition: | * | * | * | * | * | * | * | * | * |
| Operations & Maintenance: | * | * | * | * | * | * | * | * | * |
| Disposition Costs (optional): | * | * | * | * | * | * | * | * | * |
| SUBTOTAL: | * | * | * | * | * | * | * | * | * |
| Government FTE Costs should not be included in the amounts provided above. | | | | | | | | | |
| Government FTE Costs | * | * | * | * | * | * | * | * | * |
| Number of FTE represented by Costs: | * | * | * | * | * | * | * | * | * |
| TOTAL(including FTE costs) | * | * | * | * | * | * | * | * | * |

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

| Contract or Task Order Number | Type of Contract/Task Order (In accordance with FAR Part 16) | Has the contract been awarded (Y/N) | If so what is the date of the award? If not, what is the planned award date? | Start date of Contract/Task Order | End date of Contract/Task Order | Total Value of Contract/Task Order (M) | Is this an Interagency Acquisition? (Y/N) | Is it performance based? (Y/N) | Competitively awarded? (Y/N) | What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A) | Is EVM in the contract? (Y/N) |
|-------------------------------|--|-------------------------------------|--|-----------------------------------|---------------------------------|--|---|--------------------------------|------------------------------|--|-------------------------------|
| DOC50PAPT0905000 | Labor Hour Contract | Y | 2008-12-23 | 2008-12-23 | 2013-12-31 | \$27.6 | * | * | * | * | * |
| DOC50PAPT0801027 | T&M/ FIXED LABOR RATES | Y | 2008-08-31 | 2008-09-01 | 2013-08-31 | \$98.0 | * | * | * | * | * |
| DOC50PAPT0801028 | T&M/ FIXED LABOR RATES | Y | 2008-08-31 | 2008-09-02 | 2013-08-31 | \$98.0 | * | * | * | * | * |
| DOC50PAPT0801026 | T&M/ FIXED LABOR RATES | Y | 2008-08-31 | 2008-09-03 | 2013-08-31 | \$98.0 | * | * | * | * | * |
| DOC50PAPT0901027 | T&M/ LH | Y | 2008-12-23 | 2008-12-23 | 2013-12-22 | \$132.5 | * | * | * | * | * |
| DOC50PAPT0901016 | T&M/ LH | Y | 2009-03-13 | 2009-03-13 | 2014-03-12 | \$54.0 | * | * | * | * | * |
| DOC50PAPT0801008 | T&M/ LH | Y | 2008-09-23 | 2008-09-23 | 2013-09-22 | \$86.0 | * | * | * | * | * |
| DOC50PAPT0801029 | IDIQ | Y | 2008-10-01 | 2008-10-01 | 2010-09-30 | \$1.2 | * | * | * | * | * |
| DOC50PAPT0801023 | FFP | Y | 2008-09-03 | 2008-09-03 | 2011-09-02 | \$3.5 | * | * | * | * | * |
| DOC50PAPT0501005 | CPFF/Award Term Incentives | Y | 2004-12-17 | 2004-12-17 | 2012-12-31 | \$281.0 | * | * | * | * | * |
| DOC50PAPT0501004 | CPFF/Award Term Incentives | Y | 2004-12-17 | 2004-12-17 | 2012-12-31 | \$251.2 | * | * | * | * | * |
| DOC44PAPT0802054 | FFP | Y | 2009-06-16 | 2009-06-16 | 2014-06-17 | \$15.0 | * | * | * | * | * |
| DOC44PAPT0802053 | FFP | Y | 2009-06-16 | 2009-06-16 | 2014-06-17 | \$15.0 | * | * | * | * | * |
| DOC44PAPT0802055 | FFP | Y | 2009-06-17 | 2009-06-17 | 2014-06-18 | \$15.0 | * | * | * | * | * |

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|---|---|--|-----------------|
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 200 | 180 | 180 |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % complete of revised Business Impact Analysis (BIA) | 0 | 70% | 85% |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Increase in throughput based on new devices and communication links | 0 | 0.01 | 0.07 |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 90 | 85 | 96 |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 90 | 88 | |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of obsolete network and security equipment replaced | 0 | 0.01 | 0.1 |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % complete of revised Business Continuity and Contingency Plan (BCCP) | 0 | 30% | 36% |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Cost Avoidance of network outage | \$17.36M lost productivity (99% uptime) | \$1.74M lost productivity (99.9% uptime) | \$1.74M averted |
| 2009 | 2.2 Protect intellectual property and improve the | * | * | #of servers with unsupported OS in data center | 39 | 29 | 47 |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|---|----------|--------|----------------|
| | patent and trademark system. | | | | | | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 39 | 29 | |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY09 Projects | 0 | 70% | 72% |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of Data Center server and desktop network interfaces upgraded from 100Mbps to 1Gbps | 0 | 0.01 | 0.07 |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) | 0 | 3 | 3 |
| 2009 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 580 | 570 | 570 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 180 | 165 | 165 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % complete of revised Business Impact Analysis (BIA) | 85% | 100% | 99% |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Increase in throughput based on new devices and communication links | 0.07 | 0.47 | 0.9 |
| 2010 | 2.2 Protect intellectual property and | * | * | % electrical demand in stabilizing Data | 96 | 94 | 92 |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|--|---|---|----------------|
| | improve the patent and trademark system. | | | Center Environment | | | |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of obsolete network and security equipment replaced | 0.1 | 0.47 | 0.95 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % complete of revised Business Continuity and Contingency Plan (BCCP) | 36% | 100% | 83% |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Cost Avoidance of network outage | \$15.62M lost productivity (99% uptime) | \$0.87M lost productivity (99.95% uptime) | \$5.5M Averted |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 47 | 69 | 32 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY10 Projects | 72 | 75% | 80% |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of Data Center server and desktop network interfaces upgraded from 100Mbps to 1Gbps | 0.07 | 0.44 | 0.9 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) (Study being performed to determine systems for following years) | 3 | 3 | 0 |
| 2010 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 570 | 545 | 553 |
| 2011 | 2.2 Protect | * | * | # of AIS DRP | 0 | 2 | 0 |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|--|---|---|----------------|
| | intellectual property and improve the patent and trademark system. | | | (Disaster Recovery Plan) Table top Exercises developed and conducted in FY11 | | | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 165 | 140 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Increase in throughput based on new devices and communication links | Will use the actuals from the previous FY | 0.96 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Increase in throughput based on new devices and communication links | Will use the actuals from the previous FY | 1 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 94 | 92 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of obsolete network and security equipment replaced | Will use the actuals from the previous FY | 0.96 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of obsolete network and security equipment replaced | Will use the actuals from the previous FY | 1 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of Business Continuity and Contingency Plan (BCCP) Table top Exercises developed and conducted in FY11 | 0 | 1 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark | * | * | Cost Avoidance of network outage | Will use the actuals from the previous FY | \$0.17M lost productivity (99.99% uptime) | |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|---|---|--|----------------|
| | system. | | | | | | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Cost Avoidance of network outage | Will use the actuals from the previous FY | Maintain \$0.17M lost productivity (99.99% uptime) | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 69 | 59 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY11 Projects | 0 | 80% | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of Data Center server and desktop network interfaces upgraded from 100Mbps to 1Gbps | Will use the actuals from the previous FY | 0.77 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % of Data Center server and desktop network interfaces upgraded from 100Mbps to 1Gbps | Will use the actuals from the previous FY | 0.8 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) | 3 | 6 | |
| 2011 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 545 | 495 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of AIS DRP (Disaster Recovery Plan) Table top Exercises developed and conducted in FY12 | 2 | 5 | |
| 2012 | 2.2 Protect intellectual property and | * | * | # of server/storage hardware | 140 | 120 | |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|--|----------|--------|----------------|
| | improve the patent and trademark system. | | | failures | | | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 92 | 90 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of Business Continuity and Contingency Plan (BCCP) Table top Exercises developed and conducted in FY12 | 1 | 2 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 59 | 49 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY12 Projects | 0 | 85% | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) | 6 | 9 | |
| 2012 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 495 | 420 | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of AIS DRP (Disaster Recovery Plan) Table top Exercises developed and conducted in FY13 | 5 | 7 | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 120 | 95 | |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|--|----------|--------|----------------|
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of Business Continuity and Contingency Plan (BCCP) Table top Exercises developed and conducted in FY13 | 2 | 3 | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 49 | 39 | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY13 Projects | 0 | 90% | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) | 9 | 12 | |
| 2013 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 420 | 345 | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of AIS DRP (Disaster Recovery Plan) Table top Exercises developed and conducted in FY14 | 7 | 10 | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 95 | 80 | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 88 | 86 | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of Business Continuity and Contingency Plan (BCCP) Table top | 3 | 5 | |

Table 1: Performance Information Table

| Fiscal Year | Strategic Goal(s) Supported | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Target | Actual Results |
|-------------|--|------------------|----------------------|--|----------|--------|----------------|
| | trademark system. | | | Exercises developed and conducted in FY14 | | | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % Complete of Security Compliance for FY14 Projects | 0 | 100% | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | Total # of AIS deployed to the APS (Boyers) | 12 | 15 | |
| 2014 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 345 | 270 | |
| 2015 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of server/storage hardware failures | 80 | 80 | |
| 2015 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | % electrical demand in stabilizing Data Center Environment | 86 | 85 | |
| 2015 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | #of servers with unsupported OS in data center | 29 | 19 | |
| 2015 | 2.2 Protect intellectual property and improve the patent and trademark system. | * | * | # of physical servers past end of life in data center | 270 | 195 | |

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline

| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| USPTO - Design PTONet III Program | \$1.9 | \$1.9 | 2008-10-01 | 2008-10-01 | 2009-05-29 | 2009-05-29 | 100.00% | 100.00% |
| USPTO - Perform Concept, Definition, and Preliminary Design Voice System Technology Refresh | \$0.6 | \$0.3 | 2010-12-01 | 2010-07-26 | 2011-09-30 | | 5.00% | 5.00% |
| USPTO - Finalize Design, Development Test Voice System Technology Refresh | * | * | 2011-10-01 | | 2012-04-30 | | 0.00% | 0.00% |
| USPTO - Deploy Voice System Technology Refresh | * | * | 2012-10-01 | | 2013-09-30 | | 0.00% | 0.00% |
| Deploy Voice System Technology Refresh | * | * | 2013-10-01 | | 2014-09-30 | | 0.00% | 0.00% |
| Deploy Voice System Technology Refresh | * | * | 2014-10-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Deploy PTONet III IT Facilities | \$9.2 | \$9.3 | 2009-07-06 | 2009-07-06 | 2010-04-30 | 2010-05-25 | 100.00% | 100.00% |
| USPTO - Finalize Design and Deploy PTONet III Campus LAN | \$1.8 | \$1.6 | 2009-09-01 | 2009-08-14 | 2010-08-30 | 2010-08-06 | 100.00% | 100.00% |
| USPTO - Finalize Design and Deploy PTONet III Perimeter | \$1.6 | \$0.4 | 2009-12-01 | 2010-04-01 | 2010-02-26 | | 20.00% | 20.00% |
| USPTO - Perform Concept Definition, and Preliminary Design for | \$0.8 | \$0.6 | 2010-04-01 | 2010-04-01 | 2010-08-30 | | 30.00% | 29.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| Network Access Control (NAC) | | | | | | | | |
| USPTO - Perform Final Design for Network Access Control (NAC) | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Perform Concept, Definition, Design CIO Command Center | \$1.0 | \$1.0 | 2008-10-01 | 2008-10-01 | 2009-09-30 | 2009-09-30 | 100.00% | 100.00% |
| USPTO - Finalize Design CIO Command Center Facilities Design Develop Monitoring Tool Refinement | \$1.0 | \$0.9 | 2009-10-01 | 2009-10-01 | 2010-09-30 | | 86.00% | 86.00% |
| USPTO - Finalize Design, Development, Testing and Deployment CIO Command Center | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Replicate 340.3 TB of Data to Boyers Data Bunker | \$0.6 | \$0.5 | 2008-10-01 | 2008-10-01 | 2009-09-24 | | 100.00% | 79.00% |
| USPTO - Expand Storage at Boyers | \$0.7 | \$0.7 | 2009-10-01 | 2009-11-02 | 2010-06-30 | 2010-07-12 | 100.00% | 100.00% |
| USPTO - Develop DR Documents Lifecycle Strategy | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Complete Data Bunkering Phase 2 | * | * | 2010-04-01 | | 2010-09-30 | | 0.00% | 0.00% |
| USPTO - Complete Data Bunkering Phase 3 | * | * | 2010-04-01 | | 2010-09-30 | | 0.00% | 0.00% |
| USPTO - | \$0.2 | \$0.0 | 2010-01-01 | 2010-02-26 | 2010-06-30 | | 15.00% | 15.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|--|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| Develop ECM Scope and Framework | | | | | | | | |
| USPTO - Implement Boyers Internet Point of Presence (PoP) | \$0.8 | \$0.0 | 2010-01-01 | 2010-03-01 | 2010-12-31 | | 23.00% | 23.00% |
| USPTO - Perform Boyers Network Expansion Study | \$0.5 | \$0.1 | 2009-10-01 | 2009-12-07 | 2010-03-31 | | 85.00% | 83.00% |
| USPTO - Expand Boyers Network, Phase 1 | * | * | 2010-04-01 | | 2010-12-31 | | 0.00% | 0.00% |
| USPTO - Perform Failover of Group 2 AIS' | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Implement DR Documents Lifecycle Strategy | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Publish Final DR Documents | \$0.3 | \$0.6 | 2009-02-03 | 2009-02-03 | 2010-04-23 | | 87.00% | 87.00% |
| USPTO - Create Enterprise CM Policies and Operating Procedures, Phase 1 | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Deploy ECM Solution for Hardware, COTS SW & Network Engineering | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Expand Boyers Network Phase 2 | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Expand Boyers Infrastructure, Phase 1 | * | * | 2010-10-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Perform Failover of Group 3 AIS' | * | * | 2011-10-03 | | 2012-09-28 | | 0.00% | 0.00% |
| | | | | | | | | |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|--|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| USPTO - Revise DR Documents Lifecycle Strategy | * | * | 2011-10-03 | | 2012-09-28 | | 0.00% | 0.00% |
| USPTO - Create Enterprise CM Policies and Operating Procedures, Phase 2 | * | * | 2011-10-03 | | 2012-09-28 | | 0.00% | 0.00% |
| USPTO - Deploy ECM Solution for Security | * | * | 2011-10-03 | | 2012-09-28 | | 0.00% | 0.00% |
| USPTO - Expand Boyers Infrastructure, Phase 2 | * | * | 2011-10-03 | | 2012-09-28 | | 0.00% | 0.00% |
| USPTO - Perform Failover of Group 4 AIS' | * | * | 2012-10-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Complete Installation of Infrastructure at Boyers | \$1.0 | \$1.0 | 2009-01-02 | 2009-01-05 | 2010-01-07 | 2010-07-27 | 100.00% | 100.00% |
| USPTO - Create Enterprise CM Policies and Operating Procedures, Phase 3 | * | * | 2012-10-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Deploy ECM Solution for Human Resources and Facility Operations | * | * | 2012-10-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Perform Failover of Group 5 AIS' | * | * | 2013-10-01 | | 2014-09-30 | | 0.00% | 0.00% |
| USPTO - Deploy Lifecycle IT Environment (LITE 1.0) | \$0.1 | \$0.2 | 2008-08-11 | 2008-08-11 | 2009-05-18 | 2009-07-17 | 100.00% | 100.00% |
| USPTO - Perform Failover of Group 1 AIS' | \$1.1 | \$1.2 | 2008-10-01 | 2008-10-01 | 2009-12-03 | 2010-07-26 | 100.00% | 100.00% |
| USPTO - Select Alternate Processing Site | \$0.0 | \$0.0 | 2008-11-03 | 2008-11-03 | 2009-01-28 | 2009-01-28 | 100.00% | 100.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|--|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| USPTO - Perform DR Program Planning & Support | \$2.6 | \$0.8 | 2008-10-01 | 2008-10-01 | 2015-09-30 | | 30.00% | 29.00% |
| USPTO - Develop Alternate Processing Site (APS) Migration Strategy | * | * | 2010-07-12 | | 2010-12-31 | | 0.00% | 0.00% |
| USPTO - Perform Failover of ECM Phase 2 | \$0.1 | \$0.1 | 2010-01-01 | 2010-02-22 | 2010-03-31 | | 99.00% | 99.00% |
| USPTO - Begin definition of future data centers' architecture | \$0.8 | \$0.5 | 2008-12-10 | 2008-12-01 | 2010-04-14 | 2010-05-10 | 100.00% | 100.00% |
| USPTO - Implement back up, recovery & document retention (Implement De-duplication capability; Record retention changes) | * | * | 2011-12-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Implement back up, recovery & document retention (Expand De-Duplication) | * | * | 2014-01-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Develop and implement data center facility expansions | * | * | 2010-06-01 | | 2012-09-30 | | 0.00% | 0.00% |
| USPTO - Develop and implement data center facility expansions - Execution | * | * | 2012-10-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY09 | \$1.7 | \$1.5 | 2008-11-01 | 2008-09-22 | 2009-09-30 | 2010-04-16 | 100.00% | 100.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| USPTO - Execute Annual Capital IT hardware replacements - FY10 | \$4.5 | \$3.2 | 2009-11-01 | 2009-10-01 | 2010-09-30 | | 53.00% | 53.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY11 | * | * | 2010-11-01 | | 2011-09-30 | | 0.00% | 0.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY12 | * | * | 2011-11-01 | | 2012-09-30 | | 0.00% | 0.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY13 | * | * | 2012-11-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY14 | * | * | 2013-11-01 | | 2014-09-30 | | 0.00% | 0.00% |
| USPTO - Develop virtualization strategy for servers and storage | \$0.4 | \$0.1 | 2009-04-01 | 2009-04-01 | 2010-04-08 | 2010-05-10 | 100.00% | 100.00% |
| USPTO - Execute Annual Capital IT hardware replacements - FY15 | * | * | 2014-11-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Implement and enhance IT monitoring and management strategies - studies/evaluations | \$1.9 | \$0.4 | 2009-11-01 | 2010-02-02 | 2011-06-30 | | 40.00% | 40.00% |
| USPTO - Implement and enhance IT monitoring and | * | * | 2011-06-30 | | 2012-09-30 | | 0.00% | 0.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| management strategies - expand | | | | | | | | |
| USPTO - Develop and implement technical refreshment strategies (Initial studies / evaluations / pilots) | \$2.4 | \$0.4 | 2009-12-01 | 2010-01-19 | 2012-09-30 | | 64.00% | 64.00% |
| USPTO - Develop and implement technical refreshment strategies (studies / evaluations / pilots - additional technologies) | * | * | 2011-12-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Develop and implement technical refreshment strategies (continued implementation of technical refresh/strategies) | * | * | 2013-01-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Replace data center fire suppression system | * | * | 2011-03-01 | | 2011-08-30 | | 0.00% | 0.00% |
| USPTO - Develop capital hardware replacement plan | \$0.2 | \$0.2 | 2009-03-03 | 2009-03-14 | 2009-08-25 | 2009-09-24 | 100.00% | 100.00% |
| USPTO - Implement physical & logical mapping of data centers | \$3.0 | \$0.2 | 2008-12-15 | 2008-12-01 | 2009-06-28 | | 98.00% | 98.00% |
| USPTO - Develop lab virtualization strategy | \$0.8 | \$0.1 | 2009-06-22 | 2009-06-22 | 2010-01-28 | 2010-06-11 | 100.00% | 100.00% |
| USPTO - Design and implement auto-deployment capability | \$2.3 | \$0.0 | 2009-12-01 | 2010-03-01 | 2011-09-30 | | 31.00% | 31.00% |

| 1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline | | | | | | | | |
|---|--------------------|-------------------|--------------------|-------------------|-------------------------|------------------------|--------------------------|-------------------------|
| Description of Milestones | Planned Cost (\$M) | Actual Cost (\$M) | Planned Start Date | Actual Start Date | Planned Completion Date | Actual Completion Date | Planned Percent Complete | Actual Percent Complete |
| - Evaluations, studies, | | | | | | | | |
| USPTO - Design and implement auto-deployment capability - Commoditization, HW/SW Acquisitions | * | * | 2012-01-01 | | 2013-09-30 | | 0.00% | 0.00% |
| USPTO - Design and implement auto-deployment capability - Expansion of tools & storage | * | * | 2014-01-01 | | 2015-09-30 | | 0.00% | 0.00% |
| USPTO - Implement back up, recovery & document retention (Studies; Archiving solution) | \$2.0 | \$0.0 | 2009-12-01 | 2009-11-09 | 2011-09-30 | 2010-03-31 | 100.00% | 100.00% |

* - Indicates data is redacted.